



PTO/SB/21 (09-04)

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

9

Application Number

10/797,215

Filing Date

March 9, 2004

First Named Inventor

PHAN, LOC X.

Art Unit

3732

Examiner Name

BUMGARNER, MELBA N

Attorney Docket Number

018563-001550US/AT-00047.4

**ENCLOSURES (Check all that apply)**

Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a  
Provisional ApplicationPower of Attorney, Revocation  
Change of Correspondence Address

Terminal Disclaimer



Request for Refund



CD, Number of CD(s) \_\_\_\_\_



Landscape Table on CD



After Allowance Communication to TC

Appeal Communication to Board  
of Appeals and InterferencesAppeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please identify  
below):

Return Postcard

Certified Copy of Priority  
Document(s)Reply to Missing Parts/ Incomplete  
ApplicationReply to Missing Parts  
under 37 CFR 1.52 or 1.53

Remarks

The Commissioner is authorized to charge any additional fees to Deposit  
Account 20-1430.**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

Townsend and Townsend and Crew LLP

Signature

Printed name

James M. Heslin

Date

May 9, 2006

Reg. No.

29,541

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

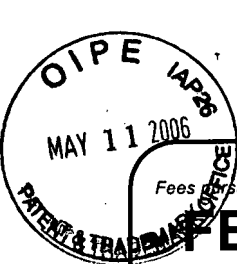
Signature

Typed or printed name

JoAnn Evangelista

Date

May 9, 2006



Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

**FEE TRANSMITTAL**  
**For FY 2006**☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$ ) 130**Complete if Known**

|                      |                            |
|----------------------|----------------------------|
| Application Number   | 10/797,215                 |
| Filing Date          | March 9, 2004              |
| First Named Inventor | PHAN, LOC X.               |
| Examiner Name        | BUMGARNER, MELBA N         |
| Art Unit             | 3732                       |
| Attorney Docket No.  | 018563-001550US/AT-00047.4 |

**METHOD OF PAYMENT** (check all that apply)☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_☒ Deposit Account Deposit Account Number: 20-1430 Deposit Account Name: Townsend and Townsend and Crew LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION** (All the fees below are due upon filing or may be subject to a surcharge.)**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

| Application Type | FILING FEES  |              | SEARCH FEES  |              | EXAMINATION FEES |              | Fees Paid (\$) |
|------------------|--------------|--------------|--------------|--------------|------------------|--------------|----------------|
|                  | Small Entity | Small Entity | Small Entity | Small Entity | Small Entity     | Small Entity |                |
|                  | Fee (\$)     | Fee (\$)     | Fee (\$)     | Fee (\$)     | Fee (\$)         | Fee (\$)     |                |
| Utility          | 300          | 150          | 500          | 250          | 200              | 100          |                |
| Design           | 200          | 100          | 100          | 50           | 130              | 65           |                |
| Plant            | 200          | 100          | 300          | 150          | 160              | 80           |                |
| Reissue          | 300          | 150          | 500          | 250          | 600              | 300          |                |
| Provisional      | 200          | 100          | 0            | 0            | 0                | 0            |                |

**2. EXCESS CLAIM FEES****Fee Description**

Each claim over 20 (including Reissues)

Each independent claim over 3 (including Reissues)

Multiple dependent claims

|          | Small Entity |
|----------|--------------|
| Fee (\$) | Fee (\$)     |
| 50       | 25           |
| 200      | 100          |
| 360      | 180          |

**Total Claims**      **Extra Claims**      **Fee (\$)**      **Fee Paid (\$)**

-20 or HP = \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_

HP = highest number of total claims paid for, if greater than 20

**Indep. Claims**      **Extra Claims**      **Fee (\$)**      **Fee Paid (\$)**

-3 or HP = \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_

HP = highest number of independent claims paid for, if greater than 3

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof | Fee (\$) | Fee Paid (\$) |
|--------------|--------------|--|----------|---------------|
| _____        | _____        | _____  | _____    | _____         |

- 100 = \_\_\_\_\_ / 50 = \_\_\_\_\_ (round up to a whole number) x \_\_\_\_\_ = \_\_\_\_\_

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Terminal Disclaimer

**Fees Paid (\$)**

130

**SUBMITTED BY**

|                   |                 |  |                        |
|-------------------|-----------------|--|------------------------|
| Signature         |                 | Registration No. (Attorney/Agent) 29,541 | Telephone 650-326-2400 |
| Name (Print/Type) | James M. Heslin |  | Date May 9, 2006       |



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

On May 9, 2006

TOWNSEND and TOWNSEND and CREW LLP

By: JoAnn Evangelista  
JoAnn Evangelista

PATENT

Attorney Docket No.: 018563-001550US

Client Ref. No.: AT-00047.4

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

LOC X. PHAN et al.

Application No.: 10/797,215

Filed: March 9, 2004

For: EMBEDDED FEATURES AND  
METHODS OF A DENTAL  
APPLIANCE

Customer No.: 46718

Confirmation No. 4185

Examiner: BUMGARNER, MELBA N

Technology Center/Art Unit: 3732

**AMENDMENT**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In response to the Office Action mailed January 10, 2006, please enter the following amendments and remarks:

**Amendments to the Claims** are reflected in the listing of claims which begins on page 2 of this paper.

**Remarks/Arguments** begin on page 3 of this paper.